



UNITED STATES DEPARTMENT OF COMMERCE  
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Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/294,898 04/20/99 SHIMKO

D 1750.0150000

0212/0519

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ATTORNEYS AT LAW

1100 NEW YORK AVENUE N W SUITE 600

WASHINGTON DC 20005-3934

NOT ASSIGNED

5/24/99

5/24/99

2761

DATE MAILED:

05/19/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS** FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 1076

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 760 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 108 for 6 total claims over 20.

\$ 78 for 1 independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

06/25/1999 Y6IZAW 00000078 09294898

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01 FC:101  
02 FC:102  
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760.00 OP  
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Sector

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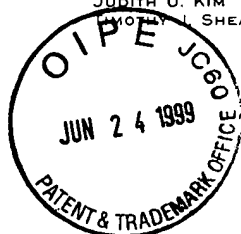
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June 24, 1999

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Assistant Commissioner for Patents  
Washington, D.C. 20231

**Box Missing Parts**

Re: U.S. Utility Patent Application  
Appl. No. 09/294,898; Filed: April 20, 1999  
For: **System, Method, and Computer Program Product for  
Collateral Management Operations**  
Inventors: Shimko *et al.*  
Our Ref: 1750.0150000/MBR/RVM

Sir:

In reply to the "Notice to File Missing Parts of Application--Filing Date Granted," dated May 19, 1999, Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Fee Transmittal (Form PTO/SB/17) (in duplicate);
2. Copy of the Notice to File Missing Parts;
3. Combined Declaration Power of Attorney for Patent Application;
4. Our Check No. 24750 for \$1,076.00 to cover:

\$760.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)  
\$108.00 Fee for excess claims over twenty (37 C.F.R. § 1.16(c))  
\$ 78.00 Fee for excess independent claims (37 C.F.R. § 1.16(b))  
\$130.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16); and

Assistant Commissioner for Patents

June 24, 1999

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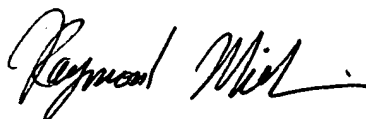
4. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Raymond Millien". The signature is fluid and cursive, with a long horizontal stroke at the end.

Raymond Millien  
Attorney for Applicants  
Registration No. 43,806

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997.  
Small Entity payments must be supported by a small entity statement  
otherwise large entity fees must be paid. See Forms PTO/SB08912.  
See 37 C.F.R. §§ 1.27 and 1.28.

<b>Application Number</b>	<b>09/294,898</b>
<b>Filing Date</b>	<b>April 20, 1999</b>
<b>First Named Inventor</b>	<b>David SHIMKO</b>
<b>Examiner Name</b>	<b>To be assigned</b>
<b>Group / Art Unit</b>	<b>2761</b>
<b>Attorney Docket Number</b>	<b>1750.0150000/MBR/RVM</b>

<b>Deposit Acct. User ID</b>	<b>19-0036</b>
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